

# INFORMATION DISCLOSURE STATEMENT

Serial No. 09/296,120  
Docket No. RC183957

Applicants: Thomas J. Reddin et al.  
Date of Filing: April 21, 1999  
Title of Invention: Methods and Systems for Occasion Based Marketing

Group Art Unit: 2761  
Examiner: #4

RECEIVED

To the Commissioner of Patents and Trademarks:

Pursuant to 37 C.F.R. 1.97 and 1.98, applicant(s) hereby submit(s) an Information Disclosure Statement for consideration by the Examiner.

Enclosed are:

- ☒ PTO-1449 and/or PTO-892 listing the patents, publications or other information submitted for consideration by the Office (except U.S. patent applications).
- ☒ A legible copy of each item listed on PTO-1449.

☐ Any item listed on PTO-1449 or PTO-892 but which are not enclosed were previously cited by or submitted to the PTO in one of the following applications which has been relied upon for an earlier filing date under 35 U.S.C. 120:

U.S. Serial No. U.S. Filing Date

- ☒ All of the items listed on PTO-1449 are in the English language.
- ☐ A concise explanation of the relevance of any item listed on PTO-1449 that is not in the English language is as follows:
- ☐ Other:

This IDS is being filed under 37 C.F.R. 1.97(b):

- ☐ Within three months of the filing date of a national application (37 C.F.R. 1.97(b)(1)). No fee is required.
- ☐ Within three months of the date of entry of the national stage as set forth in §1.491 in an international application (37 C.F.R. 1.97(b)(2)). No fee required.
- ☒ Before the mailing date of a first Action on the merits (37 C.F.R. 1.97(b)(3)). No fee required.

This IDS is being filed under 37 C.F.R. 1.97(c) before the mailing date of a Final Office Action under 37 C.F.R. 1.113 (see 37 C.F.R. 1.97(c)(1)) or before the mailing date of a Notice of Allowance under 37 C.F.R. 1.311 (see 37 C.F.R. 1.97(c)(2)):

- ☐ See Certification under 37 C.F.R. 1.97(e) below. No fee is required.

The undersigned certifies that:

- ☐ each item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS; or
- ☐ no item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application or, to the best of my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c) more than three months prior to the filing of this statement.
- ☐ some of the items of information were cited in a communication from a foreign Patent Office. As to this information, the undersigned certifies that each item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS. As to the remaining information, the undersigned hereby certifies that no item of this remaining information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application or, to the best of my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(C) more than three months prior to the filing of this statement.

- ☐ No certification; therefore, a fee in the amount of \$240.00 is required by 37 C.F.R. 1.17(p).

## FEES

- ☒ The Commissioner is hereby authorized to charge and credit Deposit Account No. 03-2320 as described below. I have enclosed a duplicate copy of this sheet.

- ☐ Charge the amount of \$240.00 for above-identified fee.
- ☒ Credit any overpayment.
- ☒ Charge any additional fees required under 37 CFR 1.16 and 1.17.

Date: 10/27/99  
CUSTOMER NO. 021589

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## CERTIFICATION UNDER 37 CFR § 1.10

I hereby certify that this Information Disclosure Statement and the documents referred to as enclosed therein are being deposited with the United States Postal Service on this date in an envelope as first class mail, postage prepaid, addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.

DATE

Joan Hudson